

Financial Status Report (FSR)

Frequently Asked Questions

Updated on 3/6/2001

1. What is the mailing address to send an FSR?

NIH, OFM, Government Accounting
31 Center Drive, Bldg 31, Room B1B05
MSC 2050
Bethesda, Maryland 20892-2050

2. Who is my contact person in Government Accounting?

See FSR Contacts list at <http://www4.od.nih.gov/ofm/guidebk/FRS.STM>

3. What mechanisms are available for submitting FSR?

You may submit a paper copy to the above address or submit electronically via a modem on 1-800-358-2223, or via Telnet at TSO.CU.NIH.GOV.

4. How do I obtain hard copy SF-269 (FSR- long form) or SF-269A (FSR short form)?

The SF-269 long form can be obtained from the web site:
<http://www.whitehouse.gov/omb/grants/#forms> The SF-269A short form can be obtained from the web site: <http://www.whitehouse.gov/omb/grants/#forms>.
If you are unable to obtain a copy from this site, call Government Accounting at 301-402-9123 to request the appropriate form.

5. What forms are available for hard copy submission?

SF-269 (Long Form) and SF-269A (Short Form)

6. When do I use the SF-269 (Long Form)?

When you have "Program Income" to report in addition to outlays

7. How do I apply for electronic submission of FSR's ?

Contact Arlene Griesmer in Government Accounting 301-402-5297 or email, griesmera@od.nih.gov. Upon request, a Users Guide and application will be forwarded to you. If you are unable to reach Ms. Griesmer please call 301-402-9123.
Once the application is completed and returned, a security code will be issued for access to the FSR system.

8. When is an FSR due?

For awards that are not in SNAP, FSRs are due within 90 days after the end of the budget period.

For awards under SNAP, an FSR is required only at the end of a competitive segment rather than annually. This FSR must be submitted within 90 days after the end of the competitive segment and must report on the cumulative support awarded for the entire segment.

9. What happens if an FSR is past due?

It is reflected on a past due list, which may result in enforcement actions, as necessary and appropriate.

10. What should I do if an FSR is past due?

Call your FSR contact person and report any problems. See item #2 above.

11. How do I know when the electronically transmitted FSR has been accepted?

The grantee can retrieve a copy of the FSR and it will state "**PROCESSED BY DFM ON -----**" approximately 72 hours after the FSR has been transmitted.

12. What happens if I submit an incorrect hard copy FSR?

The hard copy FSR will be returned to the grantee for correction. A grantee's failure to submit a timely and accurate FSR represents a material violation of the terms of the award, and may result in enforcement actions.

13. What happens if I submit an incorrect electronic FSR?

The electronic FSR will be rejected and deleted from the system. The grantee will be notified by correspondence. Submission of incorrect FSR's may preclude you from drawing funds.

14. How can the grantee be notified of an inaccurate FSR, other than mailing the hard copy back to them?

If the grantee includes their email address in the Remarks Section, the FSR staff will notify them via email.

15. How can I get my FSR off the past due list?

When an FSR is processed it comes off the list automatically.

16. How do I receive funds from a Grant Award?

Grant funds are received through a draw down from the Payment Management System (PMS). For information and assistance about drawing funds, contact the Division of Payment Management at 301-443-1661.

17. Are there instructions for completing hard copy FSR's ?

Yes, refer to the back of the SF-269 form or go to the web instructions (see item #4 above).

18. Are there instructions for completing electronic FSR's ?

Yes, call Government Accounting 301-402-9123 for a copy of FSR User's Guide.

19. Can the grantee request to carry forward the unobligated balance to the new institution?

Yes, if the grantee is under either Expanded Authority or the Federal Demonstration Project, they may carry forward the unobligated balance, by informing NIH in a statement in the Remarks Section of the FSR. Otherwise, the grantee must obtain approval from the IC Grants Management Office.

20. Can I fax my FSR to the Government Accounting?

No, fax copies of FSR's are not accepted by this office. Policy and procedures requires a paper FSR with an original signature or the FSR to be submitted electronically.

21. What does the term "unexpended balance" mean?

The unexpended balance is the money that has not been expended in the current budget period. It is a combination of the unliquidated obligations and the unobligated balance.

22. What goes in 10A - Total Outlays?

Outlays in the current competitive segment expended prior to the current budget period covered by the report.

23. I'm getting the wrong authorized amount on line 10H (short form) or 10Q (long form) - Total Federal funds authorized for the funding period. What should I do?

You must make sure that the amount you're reporting in 10 (only on electronic submittals) - Previous Cumulative Amount is correct. 10Q is the previous Federal funds authorized through the last budget period of the ongoing project period.

24. Is the supplement included with the parent grant?

Yes. Only one Financial Status Report should be completed showing the parent grant plus the supplement as one budget period.

25. What actions do I take when a grant is transferred to another Institute?

You must complete a Relinquishing Statement to IC Grants Management Specialist for appropriate action.

26. What do I do if my relinquishing statement was overstated?

Contact the Grants Management Specialist listed on the Notice of Grant Award. OFM cannot process an FSR that has a deficit balance.

27. What do I do when I receive an error message while electronically transmitting an FSR?

Contact a member of the Grants staff in Government Accounting (Please refer to question 2).

28. What is an unliquidated obligation?

Unliquidated obligations are:

- 1.) Cash Basis - obligations incurred but not paid

2.) Accrued Expenditure Basis - obligations incurred but for which an outlay has not been recorded.

Reminder: When submitting the report for the final budget period of the project (no future support), unliquidated obligations **must** be zero.

29. What is the Recipient ID?

It's the grantee's number which identifies the account. This is optional. This number is helpful to the grantee when the NIH Grant's Section calls regarding a discrepancy.

30. Why is my transmitted FSR not in the system? I submitted it several days ago.

Once you have completed transmitting your FSRs, type **END**. "Job # submitted" and "Job # ended" (separate lines) must appear on your screen in order for the FSR to be transmitted to the NIH.

Example: Job 1234 (your initials)FSR submitted

Ready

Job 1234 (your initials)FSR ended at NIHCU

31. Can the Financial Status Report be submitted to the NIH through the Web?

No, we currently do not have a Web interface. However, you may submit via Telnet (See Question 3 above).

32. How is the Indirect Expense (Field 11) completed?

Always include each rate and base in 11B and 11C

The total amount (11D) must be the product of the rate times the base.

The Federal Share (11E) will be the amount that the grantee has claimed.

Generally, the base + the Federal share must not exceed the total outlays for the current period.

33. Who do I contact when the Principle Investigator (PI) terminates early?

The IC Grants Management Specialist listed on the Notice of Grant Award.

34. What does the following message mean: "Record not available for processing, budget period open"?

An FSR cannot be accepted by OFM before the budget period end date. If there is a discrepancy with the budget period, contact the Grants Management Specialist listed on the Notice of Grant Award.

35. What do I do if I need to restrict funds on a grant that is already awarded?

There are two ways funds are restricted at NIH. For a single condition, the following applies: When grants management staff determine that funds issued on the Notice of Grant Award (NGA) should be restricted from draw down in the Payment Management System (PMS), a request to restrict funds that contains the specific document number, dollar amount and CAN (if applicable) should be emailed to Myles Burgess/Accountant in OFM at BurgessM@OD.NIH.GOV. Myles will then make the appropriate entry in the accounting system to restrict the funds. Please allow two weeks for the complete restriction process to occur. Also, remember to email Myles again to inform him if/when

the restriction has been lifted. The copy of your original restriction email will be helpful. If you are unable to reach Mr. Burgess, please call 301-402-9123.

Important Note: If you plan to restrict the funds issued on the NGA in their entirety, please leave one dollar remaining (restrict all the funds less one dollar), so the records will remain active in the PMS accounting system.

The second way to restrict funds is to require the grantee to obtain approval for each individual payment. This requires the IC Grants Management Specialist to contact the PMS representative responsible for the grantee recipient to arrange for this type of restriction.

36. Where can I go to obtain a list of awards with PMS restrictions for my IC?

You may contact Myles Burgess to obtain this listing, on 301-402-5280. He has a database of awards that have restrictions within PMS. The database was established in FY 1999, and it contains current award restrictions for FY 1999 and FY 2000, as well as some records (incomplete) for FY 1998 and prior. If you need any help in reconciling awards that may have funding restrictions or have any information about such awards dated prior to FY 1997, contact Myles. If you are unable to reach Mr. Burgess, please call 301-402-9123.

37. Who can change an EIN or Document Number?

Only staff in the Government Accounting can make these changes (see Question 2 above).

38. Who can change a Common Accounting Number (CAN) on a grant?

Staff in the IC Grants Management Office can make this change via IMPAC II.

39. If a grant changes, why must the document number remain the same?

All funds related to a particular competitive segment must remain under a single account (document number).